FEDERAL BUREAU OF INVESTIGATION
FOI/PA
DELETED PAGE INFORMATION SHEET
FOI/PA# 1516174-000

Total Deleted Page(s) = 133
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Page 8 ~ b6; b7C; b7E;
Page 9 ~ b6; b7C; b7E;
Page 10 ~ b6; b7C; b7E;
Page 11 ~ b6; b7C; b7E;
Page 12 ~ b6; b7C; b7E;
Page 13 ~ b6; b7C; b7E;
Page 14 ~ b7E;
Page 15 ~ b7E;
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Page 54 ~ b6; b7C; b7E;
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Page 59 ~ b6; b7C; b7E;
Page 60 ~ b6; b7C; b7E;
Page 61 ~ b6; b7C; b7E;
Page 62 ~ b6; b7C; b7E;
Page 63 ~ b6; b7C; b7E;
Page 64 ~ b7E;
Page 65 ~ b7E;
Page 66 ~ b7E;
Page 67 ~ b7E;
Page 68 ~ b7E;
Page 69 ~ b7E;
Page 70 ~ b7E;
Page 71 ~ b7E;
Page 72 ~ b7E;
Page 73 ~ b7E;

Author:

b6
b7C

Division:	Classification:	Alpha:		File Number:	Case ID:
HO	318	B		68445	318B-HO-68445 Serial Number:

ATTACHMENTS

File Attachment	Attachment Description:

Routing Slip
FD-4 (Rev. 8-27-02)

Date 4/22/09

To: ☐ Director

Attn.: _____
☐ ADIC _____
☐ SAC _____
☐ ASAC _____
☐ Supv. CR-4
☐ Agents _____
☐ AO/SAS _____
☐ File Assistant _____
☐ Steno/AO _____
☐ Mr./Mrs./Ms. _____
Room _____

File # 318B-HO-68445

Title _____

Re: _____

☐ Acknowledge	☐ For Information	☐ Return File ☐ Serial
☐ Assign ☐ Reassign	☐ Handle	☐ _____
☐ Bring File	☐ Initial and Return	☐ Return With Action Taken
☐ Call Me	☐ Leads Need Attention	☐ Return With Explanation
☐ Correct	☐ Open Case	☐ Search and Return
☐ Deadline _____	☐ Mark For Indexing	☐ See Me
☐ Delinquent	☐ Recharge File ☐ Serial	☐ Type
☐ Discontinue	☐ _____	☐ Upload
☐ Expedite	☐ Send to	
☐ File	_____	

Sub EZA was opened and will be maintained in EZSUR.
Please mark all 3 your files for this case EZSUR.

Thanks,

SAC [redacted]

b6
b7C
b7E

_____ See reverse side

~~Office~~ ext [redacted]

Case ID	Status	Opened	Reopened	Closed	Primary Investigator	Subfile Name
318B-HO-68445-COR	P	02/21/2009			[redacted]	CORRESPONDENCE
318B-HO-68445-ELA	P	04/22/2009			XXXXXXXXXXXXXXXXXXXXXXX	XXXXXXXXXXXXXXXXXXXXXXXXXXXXX
318B-HO-68445-FF	P	09/03/2008			[redacted]	FORFEITURE
318B-HO-68445-FIN	P	01/06/2009				FINANCIAL ANALYSES
318B-HO-68445-GJ	P	10/03/2008				GRAND JURY MATERIAL
318B-HO-68445-NC	P	02/21/2009				NEWSPAPER CLIPPINGS AND PRESS
318B-HO-68445-RECEIVER	P	03/16/2009				
318B-HO-68445-TEL	P	10/03/2008				TELEPHONE SUBSCRIBER AND TOLL
318B-HO-68445-1B	P	10/16/2008				FD-192'S (EVIDENCE)
318B-HO-68445-1D	P	03/18/2009			XXXXXXXXXXXXXXXXXXXXXXX	XXXXXXXXXXXXXXXXXXXXXXXXXXXXX
318B-HO-68445-302	P	02/21/2009			[redacted]	FD-302'S AND INSERTS

b6
b7C

FILE AUDIT

File Number: 318B-HO-C68445

Audit Conducted: 7/17/2010
Audited by: [redacted]
Last Serial Audited: 50

b6
b7C

Audit Conducted: 11/25/12
Audited by: [redacted]
Last Serial Audited: 50

Audit Conducted: _____
Audited by: _____
Last Serial Audited: _____

Audit Conducted: _____
Audited by: _____
Last Serial Audited: _____

Audit Conducted: _____
Audited by: _____
Last Serial Audited: _____

Audit Conducted: _____
Audited by: _____
Last Serial Audited: _____

Audit Conducted: _____
Audited by: _____
Last Serial Audited: _____

(Rev. 06-04-2007)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 05/16/2008

To: Houston

From: Houston
CR - 4
Contact: [redacted] b6 b7C

Approved By: [redacted]

Drafted By: [redacted]

Case ID #: 318E-HO-NEW 68445 (Pending)

Title: STANFORD INTERNATIONAL BANK

Synopsis: Request to open a case on Stanford International Bank.

Details: The Department of Justice (DOJ), contacted FBI HQ requesting assistance with an investigation regarding the marketing of certificate of deposit (CD) program offered by Stanford International Bank (SIB).

SIB, a purportedly Antigua chartered and domiciled bank, claims to be a member of the Stanford Financial Group (SFG). SFG, is a global financial services network with $43 billion in deposits and assets under management or advisement. It appears that the SFG group of companies exist almost entirely to push CD's on investors in search of higher returns, with risk levels purportedly on par with those of FDIC insured CD's issued by banks domiciled in the United States. To date, Stanford claims that it has sold over $6 billion of CD's.

The SEC staff has been conducting an inquiry into the SIB CD program generally and more specifically, into the role played in marketing the CD's by SIB's affiliated broker-dealer, Stanford Group Company (SGC). SGC is largely responsible for marketing of the CD's but claims to have no access to information regarding the activities of its off-shore affiliate, SIB.

FBIHQ has offered assistance with this investigation by providing a travel number (TR#).

It is requested that a case be opened and assigned to SA [redacted] with SA [redacted] as the Co-case Agent. b6 b7C

♦♦

opened + assigned to SA [redacted] Co-Other ASAs
O&A case assigned as SA C/A and SA as Co C/A 5/20/08 b7E

S' Drafts [redacted] 99 5-20-08 1/37 [redacted] 01

(Rev. 05-01-2008)

UNCLASSIFIED

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE Date: 06/17/2008

To: Memphis Attn: [redacted] b6 b7C b7E

From: Houston
CR - 4
Contact: SA [redacted]

Approved By: [redacted]

Drafted By: [redacted]

Case ID #: 318E-HO-68445 3 (Pending)

Title: STANFORD FINANCIAL GROUP, et al

Synopsis: Document concurrence to travel to Memphis Division to conduct an interview.

Details: Pursuant to voicemail messages left by SA [redacted] for SSA [redacted] Houston Division Agents will travel to Memphis Division on Monday, June 30, to conduct an interview with a witness on captioned investigation on Tuesday, July 1. Houston Division will be conducting the interview with two attorneys from DOJ Fraud Section. Houston Division requests that a conference room be reserved that will accomodate 7 individuals and that a Point of Contact be provided. The interview will commence at 9:00 a.m. and is expected to last until 4:00 p.m. b6 b7C

SA [redacted] can be reached via cellular telephone, [redacted]. b6 b7C b7E

Copy to
✓ Memphis

UNCLASSIFIED

[redacted] 6-17-08
169 [redacted] 01

318E-HO-68445 - 3 b6 b7C

To: Memphis From: Houston
Re: 318E-HO-68445, 06/17/2008

LEAD(s):

Set Lead 1: (Action)

MEMPHIS

AT MEMPHIS, TN

Houston Division requests that a conference room be reserved that will accomodate 7 individuals and that a Point of Contact be provided.

♦♦

FD-320 (Rev. 4-11-86)

In Reply, Please Refer to

File No. _____

FBI CASE STATUS FORM

Date: 08/11/2008

To: [redacted] Houston, Texas (Name and Address of USA) b6 b7C

From: Andrew R. Bland III. (Name of Official in Charge and Field Division) _____ (Signature of Official in Charge)

RE: Stanford Group Holdings (Name of Subject) _____ (Age) _____ (Sex)

You are hereby advised of action authorized by [redacted] (Name of USA or AUSA)

on information submitted by Special Agent [redacted] (Name) on 08/11/08 (Date). b6 b7C

(Check One)

- [x] Request further investigation
- [ ] Immediate declination
- [ ] Filing of complaint
- [ ] Presentation to Federal Grand Jury
- [ ] Filing of information
- [ ] Other

For violation of Title 18, USC, Section(s) 1341 / 1343

Synopsis of case:

In May 2008, the Department of Justice (DOJ), contacted FBI HQ requesting assistance with an investigation regarding the marketing of certificate of deposits (CD) offered by Stanford International Bank (SIB). The Securities and Exchange Commission (SEC) had been conducting an inquiry into the marketing of the CD program at Stanford, but was met with substantial resistance by [redacted] As a result, FBI Houston was contacted to provide assistance with the investigation.

USAO [redacted] (2)

[redacted] b6 b7C

S:\Drafts\[redacted].224[redacted]08 02

318E-HO-68445 - 4

SIB, a purported Antigua chartered and domiciled bank, claims to be a member of Stanford Group Holding (SGH). SGH's headquarters are located in Houston, Texas and is [redacted] b6 b7C SGH is a global financial services network with approximately $43 billion in deposits and assets under its management or advisement.

Also under the umbrella of SGH, is Stanford Financial Group (SFG). It appears that SFG exists almost entirely to push CDs on investors in search of higher returns, with risk levels purportedly on par with those of FDIC insured CDs issued by banks domiciled in the United States. To date, [redacted] claims to have sold over $6 billion in CDs.

FBI Houston has conducted interviews and collected documents from the SEC regarding its inquiry of Stanford. Based upon the interviews and the documents from the SEC, there is reason to believe that illegal activities are being conducted at the [redacted] These illegal activities include but are not necessarily limited to wire and mail fraud. It also appears that some security regulations are being violated. b6 b7C

As a result, it is requested that the United States Attorney's Office in Houston open this case so that Grand Jury Subpoenas (GJS) may be issued to further the investigation.

3185-HQ-684485-5

[redacted]

14 AUG 2008

s:drafts/[redacted]/SAC Clark

SA [redacted]

b6
b7C
b7E

Automated Serial Permanent Charge-Out
FD-5a (1-5-94)

Date: 03/24/09 Time: 14:54

Case ID: 318B-HO-68445 Serial: 6

Description of Document:

Type : FD302
Date : 08/20/08
To : HOUSTON
From : [redacted] b6
Topic: INTERVIEW RE: [redacted] b7C

Reason for Permanent Charge-Out:

INADVERTANTLY SERIALIZED SINCE SUB FILE WAS NOT LISTED.

Transferred to:

Case ID: 318B-HO-68445-302 Serial: 5

Employee: [redacted] b6 b7C

[redacted] 3-24-09 318B-HO-68445 - 6 b6 b7C

On 09/02/2008, Special Agent conducted the following investigations at Houston, Texas:

A review of Cause assigned to the 308th District Court, Harris County, Texas, showed the Petitioner to be and Respondent to be The Original Petition was filed on 11/05/2007 by State Bar Number (SBN) , on behalf of was served on 11/08/2007 at Houston, Texas. The Original Answer was filed on 11/19/2007 by SBN on behalf of

It appears brought in SBN to assist. Various pleadings listed the following residences and estates:

Spousal support was set at $100,000 per month to be paid to at her Bank of America account ending in . The Rule 11 Agreement showed a payment of $25,000 to be paid by In addition, was to coordinate travel on Stanford aircraft through Stanford Aviation. was appointed Master. The court ordered the inventory to be filed by 10/15/2008 and set the trial for 02/02/2009.

Further review of the file showed a Confidentiality Order was signed by the parties on 02/27/2008. requested the file be sealed; however, no order was located.

Automated Serial Permanent Charge-Out
FD-5a (1-5-94)

Date: 03/24/09 Time: 14:55

Case ID: 318B-HO-68445 Serial: 8

Description of Document:

Type : FD302
Date : 07/01/08
To : HOUSTON
From : [redacted]
Topic: INTERVIEW OF RE: [redacted]

b6
b7C

Reason for Permanent Charge-Out:

INADVERTANTLY SERIALIZED SINCE SUB FILE WAS NOT LISTED.

Transferred to:

Case ID: 318B-HO-68445-302 Serial: 6

Employee: [redacted]

[redacted] 3-24-09

318B-HO-68445 - 8

b6
b7C

(Rev. 05-01-2008)

UNCLASSIFIED

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 10/02/2008

To: Houston

From: Houston
CR - 4
Contact: [redacted] b6 b7C

Approved By: [redacted]

Drafted By: [redacted]

Case ID #: 318E-HO-68445 (Pending) - 9

Title: STANFORD FINANCIAL GROUP

Synopsis: To request that two subfiles (TEL and GJ) be opened under the above captioned investigation.

Details: In an effort to better organize investigative material, additional sub files are needed. The sub files TEL (telephone subpoenas) and GJ (Grand Jury subpoenas) need to be opened.

It is requested that the above mentioned sub files be opened.

♦♦

opened sub file
GJ
TEL
10-3-08
[redacted] b6 b7C

UNCLASSIFIED

5 Copies In New Sub files

5 1 DRAFTS [redacted] 27C [redacted] 01 318E-HO-68445 - 9 b6 b7C

On October 10, 2008, SA [redacted] working in conjunction with [redacted] at the Federal Aviation Administration (FAA) in Oklahoma City, Oklahoma [redacted] were able to attain that the following "N numbers" pertaining to aircraft owned and or operated by Stanford Aviation.

Stanford Aviation aircraft "N numbers"/tail numbers are:

N1sa
N2sa
N3sa
N4sa
N10sa
N14sa
N100sa
N800sa

A print screen copy of the "N numbers will be made a part of this insert.

(Rev. 01-31-2003)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 10/19/2008

To: Houston

From: Houston
CR - 4
Contact: [redacted] b6 b7C

Approved By: [redacted]

Drafted By: [redacted]

Case ID #: 318E-HO-68445-11 (Pending) -EFF

Title: STANFORD FINANCIAL;
Corporate Fraud;
Money Laundering

Synopsis: To request [redacted] be assigned as the Financial Analyst (FA) to the above titled investigation. b6 b7C

Details: The Department of Justice (DOJ), contacted FBI HQ requesting assistance with an investigation regarding the marketing of certificate of deposit (CD) program offered by Stanford International Bank (SIB).

SIB, a purportedly Antigua chartered and domiciled bank, claims to be a member of the Stanford Financial Group (SFG). SFG, is a global financial services network with $43 billion in deposits and assets under management or advisement. It appears that the SFG group of companies exist almost entirely to push CD's on investors in search of higher returns, with risk levels purportedly on par with those of FDIC insured CD's issued by banks domiciled in the United States. To date, Stanford claims that it has sold over $6 billion of CD's.

The SEC staff has been conducting an inquiry into the SIB CD program generally and more specifically, into the role played in marketing the CD's by SIB's affiliated broker-dealer, Stanford Group Company (SGC). SGC is largely responsible for marketing of the CD's but claims to have no access to information regarding the activities of its off-shore affiliate, SIB.

Writer request that FA [redacted] due to her familiarity to the case, create and analyze spreadsheets of [redacted] checking accounts, brokerage accounts and any other financial accounts he [redacted] possesses. b6 b7C

Assign Lead to [redacted] FA 10/27/2008 Lead assigned 11-3-08 [redacted] b6 b7C

S\DRAFTS\ [redacted] 110308 318E-HO-68445-11 [redacted] 01

LEAD(s):

Set Lead 1: (Action)

HOUSTON

AT HOUSTON, TEXAS

Assign FA [redacted] to the [redacted] investigation so she can create and analyze spreadsheets of [redacted] checking accounts, brokerage accounts and any other financial accounts he [redacted] possesses. Assigned FA [redacted] the [redacted] case.

b6
b7C

♦♦

Automated Serial Permanent Charge-Out
FD-5a (1-5-94)

Date: 03/20/09 Time: 10:00

Case ID: 318B-HO-68445 Serial: 12

Description of Document:

Type : EC
Date : 12/02/08
To : JACKSON
From : HOUSTON
Topic: REQUEST TO TRAVEL TO JACKSON DIVISION, TUPELO RA.

Reason for Permanent Charge-Out:

INADVERTANTLY SERIALIZED TO MAIN FILE.

Transferred to:

Case ID: 318B-HO-68445-RECEIVER Serial: 2

Employee: [redacted] b6 b7C

318B-HO-68445 - 12

U.S. Department of Justice

Federal Bureau of Investigation

In Reply, Please Refer to
File No.

2500 East T.C. Jester Blvd.
Houston, Texas 77008

November 21, 2008

[redacted] b6 b7C

Florida Office of Financial Regulation
200 E. Gaines Street
Tallahassee, FL 32399-0371

Dear Dear Mr. [redacted]

Pursuant to your conversation with Special Agent [redacted], the Houston Division of the Federal Bureau of Investigation requests copies of all documents in your possession related to Stanford Financial Group and any of its subsidiaries.

Thank you in advance for your prompt attention to this matter.

Sincerely,

Andrew R. Bland, III
Special Agent in Charge

[redacted] b6 b7C

By: [redacted]
Assistant Special Agent in Charge

1 - Addressee
(1) - Houston
[redacted]
(2)

Scanned / Emailed to
NM [redacted] 11/21/08- [redacted] b6 b7C

S:\drafts\[redacted]341[redacted]01.wpd 318E-HO-68445-13

(Rev. 05-01-2008)

UNCLASSIFIED

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 11/26/2008

To: Houston

From: Houston
CR - 4
Contact: [redacted] b6 b7C

Approved By: [redacted]

Drafted By: [redacted]

Case ID #: 318E-HO-68445 (Pending) -14

Title: STANFORD FINANCIAL GROUP

Synopsis: To document a telephonic meeting with representatives from the Florida Office of Financial Regulation.

Enclosure(s): A copy of a letter dated 11/21/2008 sent to the Florida Office of Financial Regulation.

Details: On November 21, 2008, Special Agents [redacted] and [redacted] were contacted telephonically by the State of Florida Office of Financial Regulation (FFR). Those participating on the call from FFR were [redacted] They confirmed that FFR had an investigation of a Stanford Trust Company operating Florida. b6 b7C

At their request FBI Houston sent a letter to FFR requesting their assistance. As a result, they agreed to assist and provide documents related to Stanford Trust Company (STC). Florida Regulators are of the opinion that STC is acting as a bank. STC is not approved to act as a bank in the United States.

The following is the contact information of those from FFR:

[redacted] b6 b7C

♦♦

UNCLASSIFIED

S'drafts [redacted] 302 [redacted] EC 12.5-08 318E-HO-68445- 14 b6 b7C

(Rev. 05-01-2008)

UNCLASSIFIED

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE Date: 01/05/2009

To: Houston Attn: SA [redacted] b6 b7C b7E

From: Houston
CR-4
Contact: FA [redacted]

Approved By: [redacted]

Drafted By:

Case ID #: 318E-HO-68445 - (Pending) - 15

Title: STANFORD FINANCIAL GROUP

Synopsis: To request subfile FIN be opened under the captioned investigation.

Details: It is requested that subfile FIN be opened under the captioned investigation. This subfile will be used to better organize and document the financial analyses on this case.

♦♦

Please open subfile as requested
1-5-09 b6 b7C

Case sub file opened
1-6-09

UNCLASSIFIED

Orig copy on Subm File

S:\DRAFTS [redacted] ØØS [redacted] ØS.wpd
1-6-09

318E-HO-68445 - 15 b6 b7C

(Rev. 05-01-2008)

UNCLASSIFIED

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 01/13/2009

To: Dallas **Attn:** SSA [redacted] b6 b7C b7E

From: Houston
CR - 4
Contact: SA [redacted]

Approved By: [redacted]

Drafted By: [redacted]

Case ID #:
318E-HO-68445 -16

Title: STANFORD FINANCIAL GROUP, et al

Synopsis: Request for concurrence to travel to Ft. Worth, Texas.

Administrative: Reference email to SSA [redacted] on 01/13/2009 advising of travel and requesting concurrence. b6 b7C

Details: On 01/14/2009, SA [redacted] and SA [redacted] will travel via Bureau vehicle to Ft. Worth, Texas, to meet with the SEC regarding captioned investigation. SA [redacted] and SA [redacted] will return to Houston on 01/15/2009. No assistance from the FTWRA is anticipated.

On 01/13/2009, SSA [redacted] advised SA [redacted] that SAC Dallas concurred with requested travel. b6 b7C

UNCLASSIFIED

EC 01 1-14-09 [redacted]

318E-HO-68445 - 16 b6 b7C

To: Dallas From: Houston
Re: 318E-HO-68445, 01/13/2009

LEAD(s):

Set Lead 1: (Info)

DALLAS

AT FT. WORTH, TEXAS

Read and clear.

♦♦

(Rev. 05-01-2008)

UNCLASSIFIED

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 01/15/2009

To: Houston **Attn:** SA [redacted] b6 b7C
Squad CR-4

[redacted]
Financial Manager

Miami **Attn:** [redacted]
Financial Manager

[redacted]
Accounts Approval Officer

From: Miami
Humint - 2
Contact: IOA [redacted] b6 b7C b7E

Approved By: [redacted]

Drafted By: [redacted]

Case ID #: 318E-HO-68445 (Pend[redacted] 17

Title: STANFORD FINANCIAL GROUP;
OO: Houston

Synopsis: Houston is requested to submit payment in the amount of $880.00 to the Miami Dade County Clerk of Courts for a certified copy of the complete divorce case involving [redacted] b6 b7C b7E

Enclosures: A copy of a statement/invoice from the Miami Dade Clerk of Court reflecting charges incurred by FBI Miami, account number [redacted] the original $880.00 receipt received by IOA [redacted] for the enclosed charge.

Details: On October 3, 2008, SA [redacted] FBI Houston, telephonically contacted IOA [redacted] FBI Miami, to expeditiously obtain a copy of the entire divorce file regarding [redacted] b6 b7C

UNCLASSIFIED

See 17

318E-HO-68445-17 [redacted]

To: Houston From: Miami
Re: 318E-HO-68445, 01/15/2009

[redacted] at the Miami Dade County Family Courthouse (MDCFC) in Miami Dade County, Florida. b6 b7C

Subsequently, on October 4, 2008, IOA [redacted] appeared at MDCFC and made arrangements for the above-listed divorce file to be duplicated and certified.

On October 22, 2008, writer was contacted by a Clerk from MDCFC and was advised that the above divorce case involving [redacted] had been duplicated and the total cost for services was $880.00.

On October 22, 2008, writer Fedexed the entire [redacted] Divorce file to SA [redacted] at Houston. b6 b7C b7E

On January 2, 2008, MDCFC submitted an invoice containing various charges incurred by the Miami FBI Office, Account number [redacted]. The charge of $880.00 is also included with the summary of charges.

The Houston Division is requested to send the MDCFC a payment of $880.00 for the aforementioned charge. Enclosed for Houston is a copy of the statement/invoice received from MDCFC referencing FBI Miami account number [redacted] and the original $880.00 receipt received by IOA [redacted] for the charges incurred for captioned divorce file. MDCFC provided a telephone number of [redacted] and fax telephone number of [redacted] for any inquiries. b6 b7C b7E

To: Houston From: Miami
Re: 318E-HO-68445, 01/15/2009

LEAD(s):

Set Lead 1: (Action)

HOUSTON

AT HOUSTON, TEXAS

Houston is requested to submit payment in the amount of $880.00 to the Miami Dade County Clerk of Courts for services incurred for the certification and duplication of divorce file involving [redacted] which was recorded in Miami Dade County Family court file [redacted] at the Miami Dade County Family Courthouse (MDCFC) in Miami Dade County, Florida.

b6
b7C

♦♦

(Rev. 05-01-2008)

UNCLASSIFIED

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 01/20/2009

To: Miami **Attn:** SSA [redacted] b6 b7C b7E

From: Houston
CR - 4
Contact: SA [redacted]

Approved By: [redacted]

Drafted By: [redacted]

Case ID #: 318E-HO-68445 -18

Title: STANFORD FINANCIAL GROUP, et al

Synopsis: Request for concurrence to travel to Miami, Florida.

Administrative: Reference email and telcall to SSA [redacted] b6 b7C on 01/20/2009 advising of travel and requesting concurrence.

Details: On 01/21/2009, SA [redacted] and SA [redacted] will travel to Miami, Florida, to meet with the South Florida Money Laundering Task Force. Additionally, SA [redacted] and SA [redacted] will meet with auditors from the Florida Office of Financial Regulation in West Palm Beach, Florida. No assistance from Miami Division is anticipated. SA [redacted] and SA [redacted] will return to Houston on 01/23/2009.

On 01/20/2009, SSA [redacted] advised SA [redacted] that SAC Miami concurred with requested travel. b6 b7C

UNCLASSIFIED

lead being set 1-26-09

EC 1-26-09

021 [redacted]

318E-HO-68445 - 18 b6 b7C

To: Miami From: Houston
Re: 318E-HO-68445, 01/20/2009

LEAD(s):

Set Lead 1: (Info)

MIAMI

AT MIAMI, FLORIDA

Read and clear.

♦♦

(Rev. 05-01-2008)

UNCLASSIFIED

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 01/20/2009

To: Houston

From: Houston
CR - 4
Contact: SA [redacted] b6 b7C b7E

Approved By: [redacted]

Drafted By: [redacted]

Case ID #: 318E-HO-68445 – 19

Title: STANFORD FINANCIAL GROUP, et al

Synopsis: Request permission to travel on the non-contract carrier and obtain a rental vehicle while in Miami, Florida.

Administrative: Reference email and telcall to SSA [redacted] on 01/20/2009 to obtain verbal authority. b6 b7C

Details: On 01/21/2009, SA [redacted] and SA [redacted] will travel to Miami, Florida, to meet with the South Florida Money Laundering Task Force in Doral, Florida, and auditors from the Florida Office of Financial Regulation in West Palm Beach, Florida. SA [redacted] and SA [redacted] will be staying in Ft. Lauderdale, Florida. Doral is 30 miles from Ft. Lauderdale and West Palm Beach is 80 miles from Doral and 50 miles from Ft. Lauderdale. The cost to rent a vehicle is $22.00 per day with unlimited mileage. A rental vehicle is more cost effective than taxi cabs as public transportation is not available.

SA [redacted] requests permission to travel on the non-contract carrier to Fort Lauderdale airport as the travel schedule available on the contract carriers to either Miami, Ft. Lauderdale, or West Palm Beach would require a full day of travel and conflict with other scheduled work on the travel days. Travel to Ft. Lauderdale is preferable as it is 30 miles from Doral and 50 miles from West Palm Beach. In addition, traveling via the non-contract carrier is comparable in price to traveling via the contract carriers. The cost to travel on the non-contract carrier is $977.70 while the cost to travel on the b6 b7C

UNCLASSIFIED

021 [redacted] 1-28-09

318E-HO-68445 – 19 b6 b7C

[redacted] b6 b7C

Per our discussion, Carlson put them on non-contract carrier. However, they were told they "needed approval from their agency" To be on the safe side, [redacted] b6 b7C included in EC.

[redacted]

To: Houston From: Houston
Re: 318E-HO-68445, 01/20/2009

contract carrier to Miami is $990.00, to Ft. Lauderdale is $680.00 and to West Palm Beach is in excess of $1,100.

♦♦

Automated Serial Permanent Charge-Out
FD-5a (1-5-94)

Date: 01/28/09 Time: 10:25

Case ID: 318E-HO-68445 Serial: 20

Description of Document:

Type : FD302
Date : 12/12/08
To : HOUSTON
From : [redacted]
Topic: INTERVIEW RE: [redacted]

b6
b7C

Reason for Permanent Charge-Out:

INADVERTANTLEY SERIALIZED TO WRONG FILE.

Transferred to:

Case ID: 318A-HO-67557 Serial: 38

Employee: [redacted]

318E-HO-68445- 20

318B HQ 68445-22

b6
b7C

[redacted]

[redacted]

9C
2-4-09

FEDEX REQUEST

Please print clearly. Furnish all requested information.

Today's Date: 1-29-09 Squad/Unit: CR-4

Requestor's Name: SA [redacted] Extension [redacted]

b6
b7C
b7E

SHIPPING INFORMATION
PHYSICAL ADDRESS ONLY
No PO Box

To: [redacted]

Telephone# of Recipient- *Required*: [redacted]

Classification Level:

X Unclassified-Not Sensitive __Unclassified Sensitive __Confidential __Secret

Description of Contents: Value of Contents (if over $100) $_____

Documents

Special Handling: __Fragile (describe below) __Perishable (describe below)
__ Do Not Xray __ Hazardous Materials

Additional Information: _____

Date Sent : _____ By: _____

Tracking Number: ____

Ref:
Dep: MAILROOM

Date: 01/29/2009
Wgt: 1.6 LBS
DV: 0.00

SHIPPING: 5.16
SPECIAL: 0.36
HANDLING: 0.00
TOTAL: 5.52

SVCS: PRIORITY OVERNIGHT
TRCK: 9837 3396 0296
(713) 692-5000 [illegible]

(New form 12/19/05)

318E HQ 68445 - 23

[redacted]

b6
b7C

[redacted]

EC
2-4-09

FEDEX REQUEST

Please print clearly. Furnish all requested information.

Today's Date: 1-29-09 Squad/Unit: CR-4

Requestor's Name SA [redacted] Extension: [redacted]

b6
b7C
b7E

SHIPPING INFORMATION
PHYSICAL ADDRESS ONLY
No PO Box

To: [redacted]

Telephone# of Recipient- *Required*: [redacted]

Classification Level:

X Unclassified-Not Sensitive __Unclassified Sensitive __Confidential __Secret

Description of Contents: Value of Contents (if over $100) $_____

CDs

Special Handling: __Fragile (describe below) __Perishable (describe below)
__ Do Not Xray __ Hazardous Materials

Additional Information:

Date Sent : _____ By: _____

Tracking Number: ___

Ref:
Dep: MAILROOM
Date: 01/29/2009
Wgt: 0.3 LBS
DV: 0.00
SHIPPING: 4.99
SPECIAL: 0.35
HANDLING: 0.00
TOTAL: 5.34

Svcs: PRIORITY OVERNIGHT
TRCK: 9837 3396 0285
(212. 693-5000 | Ship Dt:

(New form 12/19/05)

(Rev. 05-01-2008)

UNCLASSIFIED

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE Date: 02/04/2009

To: Criminal Investigative Attn: SSA [redacted]
Financial Crimes Section
Economic Crimes Unit

Attn: [redacted]

[redacted]

Attn: ASAC [redacted]

[redacted]

✓ Houston Attn: SA [redacted]
SA

From: [redacted]
Contact: SA [redacted]

Approved By: [redacted]

Drafted By: [redacted]

Case ID #: [redacted]
318E-HO-68445 (Pending)-24

Title: [redacted]

[redacted] STANFORD FINANCIAL GROUP,
STANFORD INTERNATIONAL BANK (SIB),
Antigua
(318E-HO-68445)

Synopsis: EC re Pre-Operational meeting [redacted]

[redacted]

UNCLASSIFIED

035 [redacted] 01.2c

318E-HO-68445- 24

Re: [redacted] 02/04/2009

Administrative: RE telcall from writer to SA [redacted] 02/04/2009. b6 b7C b7E

[redacted]

The Houston Division has requested assistance by [redacted] with Houston matter 318E-HO-68445, [redacted] Stanford Financial Group, Stanford International Bank (SIB), Antigua.

A synopsis of this matter is as follows:

[redacted] b6 b7C SIB, a purportedly Antigua chartered and domiciled bank, claims to be a member of the Stanford Financial Group (SFG). SFG, is a global financial services network with $43 billion in deposits and assets under management or advisement. It appears that the SFG group of companies exist almost entirely to push CD's on investors in search of higher returns, with risk levels purportedly on par with those of FDIC insured CD's issued by banks domiciled in the United States. To date, [redacted] claims that it has sold over $8 billion of CD's. SFG has many offices through out the US (Houston/Memphis/Tupelo/Miami/and others). The Tupelo office is [redacted] has an assistant, [redacted] that is also close to [redacted]

There have been several historical investigations regarding [redacted] that have failed. Houston FBI and New Orleans FBI had an investigation in 1992 that was worked in conjunction with British authorities and Denver DEA. In 1997, Houston Customs and IRS had an investigation on [redacted] that also failed to result in charges. While the CD program and other proprietary investment vehicles appear to be a ponzi scheme, all previous b6 b7C

[redacted] b7E

Re: [redacted], 02/04/2009

investigations have linked SFG to money laundering for drug traffickers.

[redacted] is from [redacted] b6 b7C

[redacted]

[redacted] b6 b7C b7E

All costs incurred by SA [redacted] will be borne by [redacted] b6 b7C b7E

[redacted]

[redacted] b7E

Re: [redacted] 02/04/2009

LEAD(s):

Set Lead 1: (Info)

CRIMINAL INVESTIGATIVE

AT WASHINGTON, DC

[redacted] b6 b7C b7E

Set Lead 2: (Info)

CRIMINAL INVESTIGATIVE

AT WASHINGTON, DC

FINANCIAL CRIMES SECTION, ECONOMIC CRIMES UNIT

Read and clear.

Set Lead 3: (Action)

[redacted] b6 b7C b7E

[redacted] b7E

Re: [redacted] 02/04/2009

Set Lead 4: (Info)

HOUSTON

AT HOUSTON, TEXAS

Read and clear.

♦♦

(Rev. 01-31-2003)

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 02/12/2009

To: Houston **Attn:** SA [redacted]

From: Houston
I-3
Contact: SOS [redacted]

Approved By: [redacted]

Drafted By: [redacted]

b6
b7C
b7E

Case ID #: 318E-HO-68445 (Pending) - 25

Title: STANFORD INTERNATIONAL BANK, et al

Synopsis: Provide results of indices checks.

Enclosure(s): One Excel Worksheet containing [redacted] indices checks results.

Details: The following investigation was conducted by Staff Operations Specialist [redacted] at Houston, Texas.

INDICES

On 01/30/2009, a search of the Houston Division automated indices database was conducted on the following names: [redacted] Global Concierge Services, Inc.; Guangzhou Dayang Motorcycle Co., LTD.; Terranova Group; Asset Compensation Fund LTD, LLC; [redacted] and Caldwell Management. Negative results were produced by this search.

b6
b7C

On 01/30/2009, a search of the Houston Division automated indices database referenced the following names in FBI investigative and control files:

[redacted]

b6
b7C
b7E

b6
b7C

04 01 ec 2/19/09 EC 318E-HO-68445- 25

b6
b7C
b7E

[redacted]

b6
b7C
b7E

♦♦

(Rev. 05-01-2008)

UNCLASSIFIED

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 02/20/2009

To: Houston

From: Houston
CR-4
Contact: [redacted] b6 b7C b7E

Approved By: [redacted]

Drafted By: [redacted]

Case ID #: 318B-HO-68445 (Pending) -27

Title: CHANGED
[redacted]
STANFORD INTERNATIONAL BANK, LTD,
STANFORD GROUP COMPANY,
STANFORD CAPITAL MANAGEMENT, LLC,
STANFORD FINANCIAL GROUP
HIGH YIELD INVESTMENT FRAUD

Synopsis: Document change in case title.

Previous Title: Title marked "Changed" to reflect name of main subject and [redacted] business entities. Title previously carried as "STANFORD INTERNATIONAL BANK." b6 b7C

Details: The referenced case was initially opened based on information from the SEC related to STANFORD INTERNATIONAL BANK. The scope of the investigation has since broadened and focus has been placed on [redacted]
The case title has been changed accordingly.

♦♦

Titles will be listed as ref/main on past cases.

UNCLASSIFIED

SST - Change case title as indicated.
[redacted] b6 b7C
2-20-09

S:drafts [redacted] EC 2-21-09 051 [redacted] 01

318B-HO-68445 - 27

(Rev. 05-01-2008)

UNCLASSIFIED

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 02/20/2009

To: Houston

From: Houston
CR-4
Contact: SSA [redacted] b6 b7C b7E

Approved By: [redacted]

Drafted By: [redacted]

Case ID #: 318B-HO-68445 (Pending) — 28

Title: [redacted]
STANFORD INTERNATIONAL BANK, LTD,
STANFORD GROUP COMPANY,
STANFORD CAPITAL MANAGEMENT, LLC,
STANFORD FINANCIAL GROUP
HIGH YIELD INVESTMENT FRAUD

Synopsis: Reclassify case.

Details: The classification is being changed from 318E to 318B in order to accurately reflect the nature of the investigation.

♦♦

UNCLASSIFIED

Changed classification per SSA [redacted]

SST- Phase reclassify as 318B

[redacted] b6 b7C

S:drafts\[redacted]\05\[redacted]02 cc 2-21-09

318B-HO-68445-220-09 28

(Rev. 05-01-2008)

UNCLASSIFIED

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 02/20/2009

To: Houston

From: Houston
CR-4
Contact: SSA [redacted] b6 b7C b7E

Approved By: [redacted]

Drafted By: [redacted]

Case ID #: 318B-HO-68445 (Pending) -29

Title: [redacted]
STANFORD INTERNATIONAL BANK, LTD,
STANFORD GROUP COMPANY,
STANFORD CAPITAL MANAGEMENT, LLC,
STANFORD FINANCIAL GROUP
HIGH YIELD INVESTMENT FRAUD

(1)

Synopsis: Document individuals with access to case.

Details: When the referenced case was initiated, [redacted] b7E and the case was considered extremely sensitive. Thus, access to the case was restricted in ACS. The following individuals were granted access due to their involvement in the case:

[redacted]	Co-Case Agent Co-Case Agent SST SOS FA AFI	b6 b7C

The following individuals were given access due to their managerial oversight of the case:

Andrew R. Bland III	SAC	b3 b6 b7C
[redacted]	ASAC SSA [redacted] A/UC, ECU	

♦♦

UNCLASSIFIED

b6 b7C

S:drafts [redacted] 2-21-09

318B-HO-68445 - 29

(Rev. 05-01-2008)

UNCLASSIFIED

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 02/20/2009

To: Houston

From: Houston
CR-4
Contact: SSA [redacted]

b6
b7C
b7E

Approved By: [redacted]

Drafted By: [redacted]

Case ID #: 318B-HO-68445 (Pending) — 30

318B-HO-68445-COR-1
318B-HO-68445-NC-1
318B-HO-68445-302-1

Title: [redacted]
STANFORD INTERNATIONAL BANK, LTD,
STANFORD GROUP COMPANY,
STANFORD CAPITAL MANAGEMENT, LLC,
STANFORD FINANCIAL GROUP
HIGH YIELD INVESTMENT FRAUD

Synopsis: Open subfiles.

Details: The following subfiles are being created to facilitate the efficient retrieval of pertinent information:

✓Sub COR- Correspondence, to include emails — opened
✓Sub NC- Newspaper clippings and press releases — opened
✓Sub 302- FD-302's

♦♦

✓Open subs 2-21-09
COR
NC
302

UNCLASSIFIED

b6
b7C

S: drafts [redacted] cc 2-21-09

318B-HO-68445- 30

(Rev. 05-01-2008)

UNCLASSIFIED

FEDERAL BUREAU OF INVESTIGATION

Precedence: PRIORITY **Date:** 02/20/2009

To: Dallas **Attn:** SSRA [redacted] b6 b7C b7E
Ft. Worth RA

From: Houston
CR-4
Contact: SA [redacted]

Approved By: [redacted]

Drafted By: [redacted]

Case ID #: 318B-HO-68445 (Pending) – 31

Title: [redacted]
STANFORD INTERNATIONAL BANK, LTD,
STANFORD GROUP COMPANY,
STANFORD CAPITAL MANAGEMENT, LLC,
STANFORD FINANCIAL GROUP
HIGH YIELD INVESTMENT FRAUD

Synopsis: Document concurrence to travel and request assistance in regard to filing a complaint with the local magistrate.

Details: The referenced investigation was opened in May 2008 based on a referral from SEC Ft. Worth surrounding allegations that Stanford International Bank was marketing certificates of deposit that offered unreasonable rates of return and making false statements regarding the historical returns of their proprietary investment packages. During the course of the investigation, FBI Houston and the SEC have worked closely together in furtherance of the parallel civil and criminal cases. [redacted] and the case was considered extremely sensitive.

On February 17, 2009, the SEC filed a civil complaint against [redacted] for orchestrating a fraudulent, multi-billion dollar investment scheme centering on an $8 billion CD program. As part of the action, the Federal Judge issued a temporary restraining order, froze the defendants' assets, and appointed a receiver to protect the assets. At this point, the true extent of the loss and number of victims is unknown. The SEC enforcement action has resulted in extensive worldwide media coverage. b6 b7C b7E

UNCLASSIFIED

b6
b7C

5 drafts [redacted] 2-21-09 [redacted] 05

318B-HO-68445- 31

Also charged by the SEC was [redacted] of STANFORD FINANCIAL GROUP. [redacted] was previously deposed and provided testimony to the SEC at the regional office in Ft. Worth. Agents have discovered that [redacted] made false statements during her deposition. Agents and DOJ (Fraud Section) attorneys are in the process of drafting a Complaint against [redacted] for Obstruction of Justice. Venue exists in the Northern District of Texas since the deposition was taken in Ft. Worth. At this time, prosecutors would like to file the Complaint on February 23 or February 24. However, the situation is very fluid at this point and the dates could change. Agents hope to enlist the cooperation of [redacted]. b6 b7C

SA [redacted] plans to travel to Ft. Worth, Texas on or about February 23, 2009 in order to serve as the Affiant for the Complaint against [redacted] A DOJ attorney will also be traveling to Ft. Worth. In light of the foregoing, Houston requests that an agent from the Dallas Division, Ft. Worth RA assist SA [redacted] and the DOJ attorney in regard to the process of filing a complaint with the local magistrate. Once assigned, SA [redacted] will contact the liaison agent directly and keep the agent apprized of her travel status. b6 b7C

On February 20, 2009, SSA [redacted] telephonically contacted SSRA [redacted] regarding the referenced travel. SSRA [redacted] concurred with the travel and graciously agreed to help in any way possible. Houston expresses their appreciation for this assistance, especially on such short notice. b6 b7C

To: Dallas From: Houston
Re: 318B-HO-68445, 02/20/2009

LEAD(s):

Set Lead 1: (Action)

DALLAS

AT FT. WORTH, TEXAS

SA [redacted] plans to travel to Ft. Worth, Texas on or about February 23, 2009. Houston requests that an agent from the Ft. Worth RA act as a liaison and assist SA [redacted] in the process of filing a complaint with the local magistrate. b6 b7C

♦♦

(Rev. 05-01-2008)

UNCLASSIFIED

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE **Date:** 02/20/2009

To: Houston

From: Houston
CR-4
Contact: SA [redacted] b6 b7C b7E

Approved By: [redacted]

Drafted By: [redacted]

Case ID #: 318B-HO-68445 (Pending) -32

Title: [redacted]
STANFORD INTERNATIONAL BANK, LTD,
STANFORD GROUP COMPANY,
STANFORD CAPITAL MANAGEMENT, LLC,
STANFORD FINANCIAL GROUP
HIGH YIELD INVESTMENT FRAUD

Synopsis: Document and index identifiers for main subjects.

Details: The following individuals have been identified as the primary main subjects at this time: [redacted]

Descriptive Data:

Main subject b6 b7C

Name:
Aliases:

Race:
Sex:
DOB:
DLN:
SOC:
Spouse:
Misc:

[redacted]

UNCLASSIFIED

S: drafts [redacted] EC 1051 [redacted] 02-21-09 318B-HO-68445- 32 b6 b7C

To: Houston From: Houston
Re: 318B-HO-68445, 02/20/2009

Main subject

[redacted]

b6
b7C

Main subject

[redacted]

b6
b7C

♦♦

~~SENSITIVE~~

FD-71 Revised 1-8-2009	FEDERAL BUREAU OF INVESTIGATION **COMPLAINT FORM**

ADMINISTRATION

Classification Level:
SN

It is noted that the individuals and groups identified during the assessment do not warrant further FBI investigation at this time.

RECEIVED BY	Status:	Priority:
Name [redacted] **(WF) (FBI)**	**Pending**	**Routine**
Email [redacted]	Incident Type: **Criminal Activity**	Receipt Method: **Telephone**
	Received On: **2/18/2009**	Last Updated: **2/18/2009**

Originator Type:	Originating Agency:	Originator Telephone:
Complainant		

Responsible Office:	Responsible Squad:
Houston	

RESPONSIBLE INVESTIGATOR	RESPONSIBLE SUPERVISOR
Name	Name [redacted] **(HO) (FBI)**
Email	Email [redacted]

SUMMARY

Synopsis:
Complaint call received regarding [redacted]

[redacted]

Facts of Incident:
At Approximately 11:15 AM on 2/18/2009

[redacted] work telephone number [redacted] and home telephone number [redacted] called the Washington Field Office of the FBI to report that she had information regarding wanted person [redacted]

[redacted] received a call last night by her friend [redacted] telephone number [redacted] [redacted] told her that [redacted] believed from the conversation that [redacted] and wanted to pass the information to the FBI.

Occurrence(s): **Time:**
From: To: Duration: Duration Units:

COMPLAINANT

Complainant Name:	☐ Protect Source	Date:	Time:
[redacted]		**2/18/2009**	**11:15:00 AM**
Complainant Address:		Complainant Telephone: [redacted]	
Complainant's DOB:		Complainant Email:	
Complainant's Sex: **F**		Complaint Received By: [redacted] **(WF) (**	

SUBJECT

Last Name:	First Name:	Middle Initial:
SSN:	Subject's DOB:	Subject's POB:
Gender:	Build:	Complexion:
Hair Color:	Eye Color:	Feet: Inches: Height:
Weight:	Age:	Facial Hair:

b6 b7C b7E

b6 b7C b7E

b6 b7C b7E

b6 b7C

318B-HO-68445 - 33

This document should not be dissemi...

~~SENSITIVE~~

Accent:	Race:	Driver's License Number:

☐ Public Figure(Politician, Celebrity, Community Leader, etc.)	US Person ○ Yes ○ No ○ Unknown

Description(dress, mannerisms, or statements made):

Address:

Other Names:

Other Addresses:

Scar(s)/Tattoo(s):

Scar/Tattoo Description:

Associate(s):

Weapon(s):

Weapon Description:

Vehicle(s):

INVESTIGATIVE METHODS

ASSESSMENT FINDINGS

Recommended Classification: Recommended Alpha:

Recommended Action:	☐ Disseminate to FIG
Date:	

Assessment Findings:

Federal Violation:

SUPERVISOR REVIEW

Responsible Supervisor:

[redacted] **(HO) (FBI)**

b6
b7C

REVIEWS

Period Start Date:	Period End Date:	Days:	Supervisor Decision:	☐ Add Comments
			Close Assessment, Upload to Case File	

Author: [redacted]

Division:	Classification:	Alpha:		File Number:	Case ID:
HO	**318**	**B**		**68445**	**318B-HO-68445** Serial Number: 33

ATTACHMENTS

File Attachment	Attachment Description:

This document should not be dissemi...

FD-71 Revised 1-8-2009

FEDERAL BUREAU OF INVESTIGATION

COMPLAINT FORM

ADMINISTRATION

Classification Level:
U

It is noted that the individuals and groups identified during the assessment do not warrant further FBI investigation at this time.

RECEIVED BY	Status:	Priority:
Name [redacted] (HO) (FBI)	**Pending**	**Routine**
Email [redacted]	Incident Type: **Criminal Activity**	Receipt Method: **Telephone**
	Received On: **2/18/2009**	Last Updated: **2/18/2009**

Originator Type:	Originating Agency:	Originator Telephone:
Complainant		[redacted]

Responsible Office:	Responsible Squad:
Houston	**CR4**

RESPONSIBLE INVESTIGATOR	RESPONSIBLE SUPERVISOR
Name	Name [redacted] (HO) (FBI)
Email	Email [redacted]

SUMMARY

Synopsis:
Former Stanford Financial employee reports suspicious activity during the term of his employment.

[redacted]

Facts of Incident:
The complainant (C) , [redacted] claims to be a former [redacted] with Stanford Financial. C's primary responsibility during the term of his employment was to [redacted] between the hours of 6pm and 6am at 5051 Westheimer Houston, TX.

C's term of employment was from [redacted] During this time C reports he and [redacted] were asked by [redacted] or a representative from the legal department to [redacted]

[redacted]

C also states that it was not uncommon for security cameras and alarms to be disabled at the building across the street, 5050 Westheimer, during odd night hours in order for personnel to remove boxes from the building.

Additionally, C observed [redacted] and [redacted] coming and going at [redacted] C states they would enter through a rear entrance, stay in Stanford's office for several hours then leave.

Author advised C that the SEC was handling this investigation and C should contact the SEC office in Ft. Worth, TX in order to provide this information to the correct investigative agency.

C is referenced in [redacted]

Occurrence(s): **Time:**
From: To: Duration: Duration Units:

COMPLAINANT

Complainant Name: [redacted]	☐ Protect Source	Date: **2/18/2009**	Time: **2:50:00 PM**
Complainant Address: [redacted]		Complainant Telephone: [redacted]	
Complainant's DOB: [redacted]		Complainant Email:	
Complainant's Sex:		Complaint Received By:	

318B-HO-68445-34

[redacted]

[redacted]

M [redacted] (HO) (FB

b6
b7C

SUBJECT

Last Name:	First Name:	Middle Initial:
SSN:	Subject's DOB:	Subject's POB:
Gender:	Build:	Complexion:
Hair Color:	Eye Color:	Feet: Inches: Height:
Weight:	Age:	Facial Hair:
Accent:	Race:	Driver's License Number:

☐ Public Figure(Politician, Celebrity, Community Leader, etc.)

US Person ○ Yes ○ No ○ Unknown

Description(dress, mannerisms, or statements made):

Address:

Other Names:

Other Addresses:

Scar(s)/Tattoo(s):

Scar/Tattoo Description:

Associate(s):

Weapon(s):

Weapon Description:

Vehicle(s):

INVESTIGATIVE METHODS

ASSESSMENT FINDINGS

Recommended Classification: Recommended Alpha:

Recommended Action:

Date:

☐ Disseminate to FIG

Assessment Findings:

Federal Violation:

SUPERVISOR REVIEW

Responsible Supervisor:

[redacted] (HO) (FBI)

b6
b7C

REVIEWS

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